Case Notes Manual

Missouri Department of Higher Education and Workforce Development

Office of Workforce Development

A proud partner of the americanjobcenter network

Contents

Case Notes provide a fact-based description of a participant's interaction with the workforce system. Case Notes let other workforce staff know what is happening with the participant. This includes information such as eligibility, how training is progressing, what training is needed, what other job center services are needed, etc. Accurate, adequate, and timely recording of Case Notes is critical to provide quality participant service, track funding costs, and assist in compliance monitoring.

Remember: if the information is not in a Case Note, it is as if it never happened. Case Notes must tell the "story" of what the participant needs, how we are helping them, and how they are progressing.

Case Notes must be entered **on the date** of discussion with the participant or the date services are provided. This real-time data entry allows for continuous and seamless service delivery. If time of day or caseload does not allow for creating a Case Note immediately, it must be completed the next business day, or as soon as possible. Staff is to use the actual "contact date" to reflect when the service or discussion occurred.

Many of the Office of Workforce Development's (OWD) statewide electronic case-management system services (e.g., self-directed job search) record automatically in the seeker history and in the Wagner-Peyser (WP) application. It is not necessary to write a Case Note for these automatic entries.

When writing Case Notes, keep in mind:

- Case Notes are part of the permanent record;
- Monitors and other staff providing services will read Case Notes; and
- The participant (or, in the case of a youth, the guardian) has the right to receive copies of Case Notes.

Purposes

Case Notes have a variety of purposes, including, but not limited to:

- Sharing information with the workforce system to facilitate seamless service delivery;
- Reminding the workforce system of information and ideas that have been discussed with the participant;
- Providing documentation to meet regulatory requirements, that will result in smoother local, state, and federal monitoring processes—and possibly fewer audit findings;
- Documenting information obtained from partners not using DWD's statewide electronic case management system;
- Documenting services offered, as well as the source—and timeframe— of funding (i.e., specifying Workforce Innovation and Opportunity Act [WIOA] Title I programs or non-WIOA sources such as, Trade Adjustment Assistance, or National Dislocated Worker Grants), including training costs, Supportive Services, and other appropriate expenditures;
- Documenting progress toward the Goals and Objectives/Services on the individualized Employment Plan (EP);

- Adding, clarifying, or summarizing information in the electronic case management record;

- Helping locate participants for required follow-up contact; and

- Assisting OWD Central Office staff to:
    - Consider and process change requests;
    - Investigate participant complaints; and
    - Review records for compliance and quality of service.

<u>Mandatory Initial Case Note</u>

It is mandatory that any participant moved **to participant status must have an Initial Case Note entered at the time of enrollment**. This mandatory Initial Case Note must be entered for all active program participants at the time of enrollment.

The Initial Case Note must list what program(s) the participant is being enrolled in, and include the following information:
- Summary of eligibility for each program;
    - How the participant was determined eligible under the program they are enrolled in;
    - When a participant is determined eligible for WIOA Dislocated Worker, document unlikely to return.
- Plan of activities to be offered;
- How the EP will be implemented;
- Funding amount and source that is being considered;
- Any Supportive Services that are being considered;
    - Include type (i.e. mileage, clothing, housing, etc.)
    - Include amount, if known.

<u>Case Note Recording Requirements</u>

Case Notes must be:
- <u>Concise and Stated in Simple, Clear Language.</u> The Case Note must document services received by the participant in the Missouri Job Center. Case notes should not contain long narratives and unnecessary information. Case Notes must be detailed enough to communicate any relevant information related to services received.

- Acronyms and abbreviations are not appropriate unless **all staff** reading the Case Notes can easily understand them, (including state and federal monitors) *[example: individualized Employment Plan (EP)].*

- <u>Related to the Participant's Ability to Participate in Services.</u> Information must pertain to the participant only. Don NOT record nonessential information about spouses, children, other family members, friends, etc. Remember-Case Notes must tell the "story" of what the participant needs, how we are helping them, and how they are progressing.

- <u>Fact-based, Objective, Accurate.</u> Case Notes must contain only relevant facts. Assumptions or conjectures by staff and third parties must not be included.

- Case Note Entries must contain information about a participant's progress in employment and/or training services and include information on the following topics:

    - Initial Case Note (see Mandatory Initial Case Note for required elements);
    - Service actual begin and end dates;
    - Funding approvals including the total cost of training;
    - Funding denials including the reason for the denial;
    - **Identify funding sources** and timeframes covered with eligibility determinations;
    - Clearly document the braiding of funding sources;
    - Assessments and results of assessments (specify which assessment);
    - Supportive Services; including justifications for Supportive Services following the most current OWD Issuance;
    - Case reviews;
    - Participant contacts (specific reason for contact);
    - Participant information updates;
    - Document Submittal
    - EP/Participation;
    - Job development;
    - Case record corrections;
    - Problem solving (e.g., addressing barriers, needs, and plans to address those needs);
    - Progress evaluations;
    - Referrals;
    - Skills reviews;
    - Timesheet or invoice information;
    - Unemployment Insurance reporting;
    - Reemployment Services and Eligibility Assessment (RESEA); and
    - Youth follow-up.

Note: "Cut-and-paste" text must be updated to be specific to that participant's case.

Case Notes must not include:

- Communications with Other Individuals. In general, it is not appropriate to discuss the participant's Personally Identifiable Information with anyone other than the participant. Exceptions would be a youth requiring verbal and/or written approval of a parent or guardian, or a qualified interpreter or translator for persons with hearing disabilities or limited English proficiency. For any of these exceptions, the Case Notes must indicate the name and relationship of the third party present in the conversation or made privy to the information. *OWD has agreements with training providers, therefore, staff is allowed to talk to authorized representatives about participants' training.

- Confidential Information. Staff should avoid receiving or obtaining confidential (i.e., medical, criminal, legal, domestic violence) documentation unless it is pertinent and necessary for determining employment or training opportunities. If it is necessary to obtain confidential information, the Case Note must contain a generic explanation of the information, how it is related to employment and/or training, and identify the secure location of the information (i.e., "Participant wants to be a mechanic, but needs to pursue other employment or training opportunities. See confidential file."). Medical and disability related information must be kept **confidential and separate** from the statewide electronic case-management record and from the participant's main hardcopy or other confidential records. Electronic records must be password-protected, and paper records must be in a secure, locked location. Staff may say medical condition, but they may NOT include specific details (i.e. heart disease, cancer, broken leg, etc.). Confidential records include, but are not limited to, drug or alcohol related treatment or rehabilitation, as well as pregnancy,

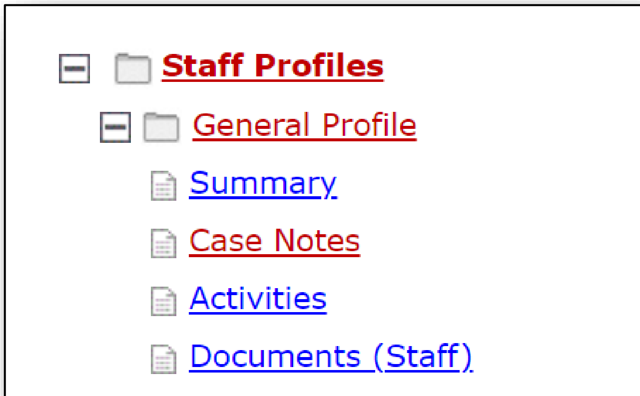
- Complaints. Any type of complaint under WIOA must be considered confidential and there must not be any case notes regarding a complaint, regardless of whom the complaint is against. Per 29 CFR 38.45, "Grant applicants, recipients and the Department must keep confidential to the extent possible, the identity of any individual who furnishes information relating to, or assists in, an investigation or a compliance review, including the identity of any individual who files a complaint." This includes subrecipients and local service providers.

How to Enter Case Notes

The MoJobs system is setup in such a way that staff are able to enter Case Notes in a variety of different ways. Here are a couple of examples of how staff can enter Case Notes into the system.

Once staff is assisting a participant, they can go to the top of the page and select

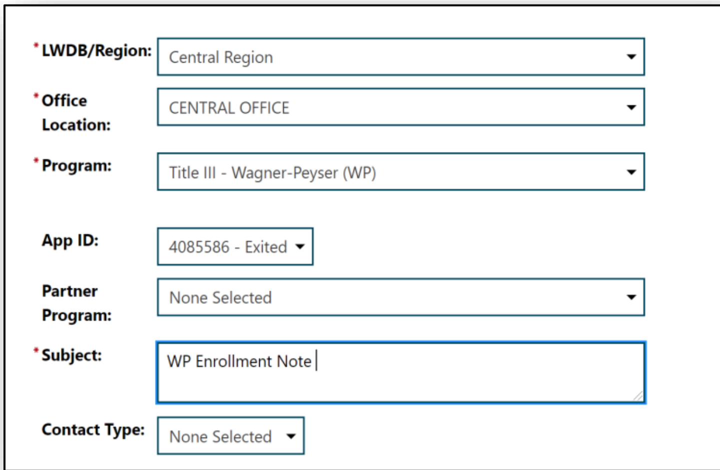
“Case Notes” under the “Staff Profiles” section.



Staff will then select the button labeled “Add New Case Note”

Staff can also enter a Case Note when posting a service/activity, however staff must select “save” on service/activity creation in order to view the Case Note under the selected service/activity.

Staff must pay close attention when entering the details of the Case Note. Staff must select the appropriate selection from the drop down menus next to each criteria. It is especially important to identify the correct "Program" and have an appropriate "Subject" title.

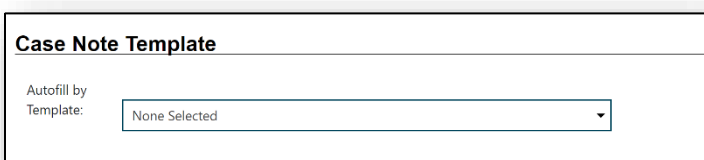


The "Contact Date" is a field used to document the date the service or conversation occurred. Staff must change the date to reflect the correct date the conversation or service occurred, even if the service Case Note is entered late. By entering the correct "Contact Date", the service Case Note will appear in chronological order, versus in the order that the Case Note was entered, making it easier to read and follow in real-time order.

Using Case Note Templates

The MoJobs system allows staff to select Case Note templates. These templates are a useful guide for staff, but staff must make the Case Note details specific to the participant. Only select MoJobs users have the ability to create Case Note templates.

Staff can select an approved template at the top of Case Note details page.



Staff will select the most appropriate template applicable.